


FORM PTO-1390 US DEPARTMENT OF COMMERCE REV. 5-93 PATENT AND TRADEMARK OFFICE <b>TRANSMITTAL LETTER TO THE UNITED STATES          DESIGNATED/ELECTED OFFICE (DO/EO/US)          CONCERNING A FILING UNDER 35 U.S.C. 371</b>		ATTORNEYS DOCKET NUMBER <b>P01,0281</b>
		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>09/914899</b>
INTERNATIONAL APPLICATION NO. <b>PCT/DE00/00630</b>	INTERNATIONAL FILING DATE <b>01 MARCH 2000</b>	PRIORITY DATE CLAIMED <b>01 MARCH 1999</b>
TITLE OF INVENTION <b>METHOD AND ARRANGEMENT FOR OPTIMIZING AN AMPLITUDE-MODULATED OPTICAL SIGNAL</b>		
APPLICANT(S) FOR DO/EO/US <b>ULLRICH WÜNSCHE ET AL.</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.</li> <li>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <input type="checkbox"/> A copy of International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input checked="" type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11. to 16. below concern other document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report, 03 References).</li> <li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.  <b>(SEE ATTACHED ENVELOPE)</b></li> <li>13. <input checked="" type="checkbox"/> Amendment "A" Prior to Action and Appendix "A".  <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li> <li>14. <input checked="" type="checkbox"/> A substitute specification and substitute specification mark-up.</li> <li>15. <input checked="" type="checkbox"/> A change of address letter attached to the Declaration.</li> <li>16. <input checked="" type="checkbox"/> Other items or information:           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> SUBMISSION OF DRAWING CHANGES</li> <li>b. <input checked="" type="checkbox"/> Copy of INTERNATIONAL SEARCH REPORT</li> <li>b. <input checked="" type="checkbox"/> EXPRESS MAIL #EJ 552525974 US dated September 4, 2001</li> </ol> </li> </ol>		

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) <b>09/914879</b>				INTERNATIONAL APPLICATION NO. <b>PCT/DE00/00630</b>		ATTORNEY'S DOCKET NUMBER <b>P01,0281</b>	
<b>17. <input checked="" type="checkbox"/> The following fees are submitted:</b>  <b>BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):</b> Search Report has been prepared by the EPO or JPO \$860.00  International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) \$690.00  No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) \$710.00  Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO \$1000.00  International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$ 100.00  <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>					CALCULATIONS          		PTO USE ONLY          
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).					\$		
Claims	Number Filed	Number Extra	Rate				
Total Claims	07 - 20 =	0	X \$ 18.00	\$			
Independent Claims	02 - 3 =	0	X \$ 80.00	\$			
Multiple Dependent Claims			\$270.00 +	\$			
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 860.00			
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)				\$			
<b>SUBTOTAL =</b>				\$ 860.00			
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				\$			
<b>TOTAL NATIONAL FEE =</b>				\$ 860.00			
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property +							
<b>TOTAL FEES ENCLOSED =</b>				\$ 860.00			
				Amount to be refunded		\$	
				charged		\$	
<p>a. <input checked="" type="checkbox"/> A check in the amount of <u>\$ 860.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <b>50-1519</b>. <b>A duplicate copy of this sheet is enclosed.</b></p> <p><small>NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</small></p>							
<p><b><u>SEND ALL CORRESPONDENCE TO:</u></b></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> <p><b>SCHIFF HARDIN &amp; WAITE</b>  <b>PATENT DEPARTMENT</b>  <b>6600 Sears Tower</b>  <b>233 South Wacker Drive</b>  <b>Chicago, Illinois 60606-6473</b></p> <p><b>CUSTOMER NUMBER 26574</b></p> </div> <div style="width: 35%; text-align: center;"> <p>            _____  <b>SIGNATURE</b></p> <p><b>Mark Bergner</b>            _____  <b>NAME</b></p> <p><b>45,877</b>            _____  <b>Registration Number</b></p> </div> </div>							

09/914899

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**CERTIFICATE OF MAILING BY EXPRESS MAIL**

**Express Mail Mailing Label Number EJ 552525974 US**

**Date of Deposit: September 4, 2001**

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10(c) on the date indicated above and is addressed to:

**BOX PCT  
Assistant Commissioner for Patents  
Washington DC 20231**

Case Number: **P01,0281**  
Applicant(s): **ULLRICH WÜNSCHE ET AL**

International Application No. **PCT/DE00/00630**  
International Filing Date **01 MARCH 2000**  
Priority Date Claimed **01 MARCH 1999**

**Title: Method and Arrangement for Optimizing an Amplitude-Modulated Optical Signal**

**Enclosed are the following documents:**

International application as filed;  
English Translation;  
Annexes;

Executed Declaration;  
Change of Address of Applicants' Representative;

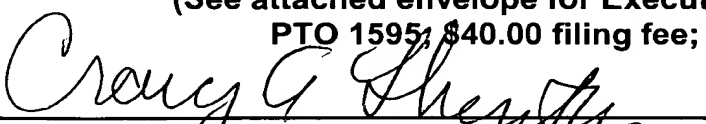
PTO 1390 in duplicate;  
\*Preliminary Amendment and Appendix A (mark-ups for claim amendments);

Submission of Drawing Changes;  
Substitute Specification and Substitute Specification mark-up;

Copy of International Search Report;

Fee: \$860.00;  
Postcard.

**(See attached envelope for Executed Assignment;  
PTO 1595, \$40.00 filing fee; Postcard)**

  
Signature of person mailing documents and fees

BOX PCT  
IN THE UNITED STATES DESIGNATED/ELECTED OFFICE  
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY--CHAPTER II

**REQUEST FOR APPROVAL OF DRAWING CHANGES**

APPLICANT(S): Ullrich WÜNSCHE et al.  
ATTORNEY DOCKET NO.: P01,0281  
INTERNATIONAL APPLICATION NO: PCT/DE00/00630  
INTERNATIONAL FILING DATE: 01 March 2000  
INVENTION: Method and Arrangement for Optimizing an Amplitude-Modulated  
Optical Signal

Assistant Commissioner for Patents,  
Washington, D.C. 20231

Sir:

Enclosed is one sheet of drawings showing in red, changes to the single  
figure. Approval of the changes is respectfully requested.

Submitted by,

  
\_\_\_\_\_  
Mark Bergner (Reg. No. 45,877)  
SCHIFF HARDIN & WAITE  
PATENT DEPARTMENT  
6600 Sears Tower  
Chicago, Illinois 60606-6473  
(312) 258-5779  
Attorney for Applicant(s)

**CUSTOMER NUMBER 26574**